

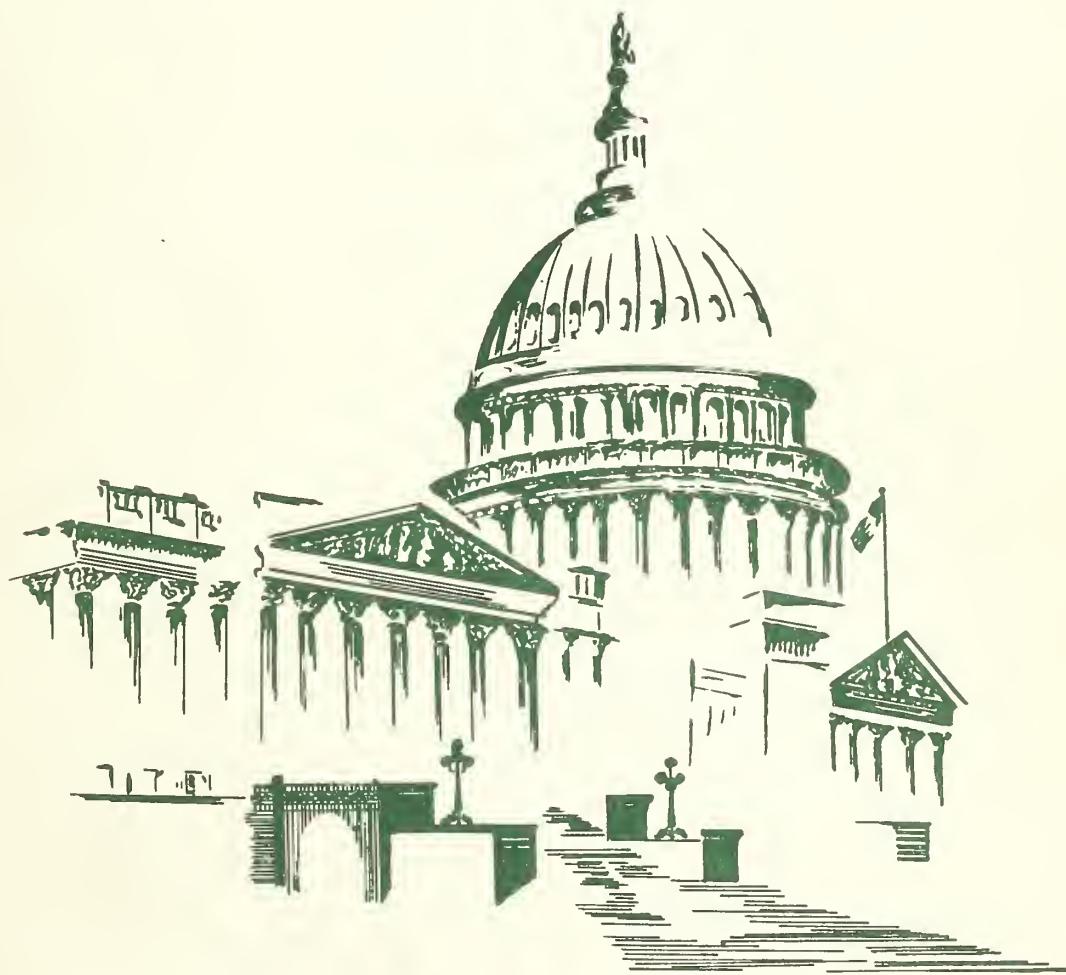
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# MANAGEMENT GUIDE for the FEDERAL EXECUTIVE



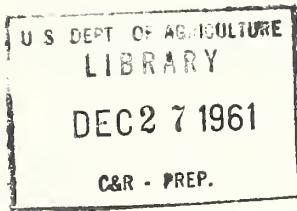
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MANAGEMENT GUIDE FOR THE FEDERAL EXECUTIVE



Prepared at Fourth Management Development Program

Conducted by U. S. Department of Agriculture,

Graduate School

1960-61



## PREFACE

This book is an outgrowth of the processes of learning described by Dr. John B. Holden, Director of the U. S. Department of Agriculture Graduate School, during Phase I of the Fourth Session of the Management Development Program. At that time he indicated that the purpose of learning was to bring about some kind of change - an improvement of skills, attitudes, understanding, or expression. In order to accomplish this, emphasis must be placed on (1) the individual; (2) the learner's perception of the task to be accomplished; (3) the human relations factor; (4) the involvement of the learner; (5) the wise use of material and resources; and (6) the opportunity to try something out and get a feedback to determine whether the procedure followed has been effective.

As an aid to learning, Dr. Holden also suggested use of various teaching materials: direct purposeful experience; contrived experience (case method); dramatic participation; problem-solving group discussions; demonstration; field trips; exhibits; television; motion pictures; radio; recordings, or still pictures; visual and verbal symbols.

During Phases I and II of the program, the criteria and methods of learning outlined by Dr. Holden were demonstrated forcefully. Participants were inspired and stimulated by the resource leaders who discussed various phases of organization and management. Also, much was learned through the media of round-table discussions, case studies, role playing, movies, and other visual aids. In an evaluation session at the end of Phase II, participants were enthusiastic in expressing their appreciation of the program itself and the effective manner in which it was presented.

This book, covering activities in Phases I and II of the program, has been prepared in the hope that it will serve as a reference handbook for participants, enabling them to examine their own work performance, determine their own weaknesses, and work out methods of improving their effectiveness in carrying out management responsibilities in the Government agencies with which they are connected.

We wish to express the appreciation of all participants to Dr. Holden and the others who assisted in planning, organizing, and implementing the management development program. We are especially grateful to Edmund N. Fulker, Assistant Director of the Graduate School, who so capably and enthusiastically directed all aspects of the program. Also, we acknowledge with appreciation the help given us by Jean Acuff of the Graduate School.

As members of the Editorial Committee, we wish to thank all participants for their cooperation in reporting on the individual subjects covered in the pages that follow.

The Editorial Committee



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## INTRODUCTION

*"...And thou shalt teach them ordinances and laws and shalt show them the way wherein they must walk, and the work that they must do."*

*Exodus 18:20*

This was the mandate given to Moses to organize and manage his people. Down through the centuries management has remained the vital, the motivating force of the organizational enterprise -- be it industrial or federal.

Today, more than ever before, the Federal Government needs men steeped in the executive and managerial skills. The tremendous growth of our nation has been paralleled, of necessity, by similar growth in the governmental complex. And yet in our time of greatest need we seem to be faced with a serious shortage of executive skills and talents.

Primarily we face this shortage because of three factors. First, we have not given sufficient thought to the training and preparation of prospective managers in executive responsibility. Second, we have failed to recruit new and vigorous talent at the proper time and, importantly, at the proper level. Third, we have placed too much emphasis on specialization -- the scientist, the professional man; for this we have paid in a narrowing of perspective in the public servant.

The barriers to changing or removing these factors have, until very recently, been reinforced by the legislative and regulatory bodies of the Federal structure. The conviction has been stated that "all people recruited to work for the Federal Government are presumed to be qualified to fill the job for which they are hired." For this reason complete restriction was placed on the spending of funds for training of any kind, either on or off the job.

Fortunately, a new light has dawned -- a new policy has been adopted. In 1958 Congress approved the spending of allotted funds for training purposes. However, our Federal agencies now are paying the penalties imposed by a real dearth of management know-how. How can we best take advantage of the new view of training? Although much has been said and written concerning management, there has been little agreement on methods of developing managers.

In order to crystallize and synthesize the best available material on management and to present this synthesis to the agencies of the Federal Government, the Graduate School of the United States Department of Agriculture evolved the Management Development Program for Federal executives initiated in the fall of 1959.

Under the guidance of Dr. John B. Holden, Director of the Graduate School, the program brings to the scientist, the specialist, the professional, the executive with management experience and responsibility but little formal training in management, an introduction to management principles, practices and philosophies. These principles, practices, and philosophies are presented to help the Federal executive: (1) analyze himself and his needs; (2) learn more about the functions and principles of management; (3) apply these to the job; (4) share problems, ideas, and experiences with executives from other Federal agencies; and (5) start a systematic program of self-development.

The program, conducted under the sympathetic and zestful aegis of Edmund N. Fulker, Assistant Director of the Graduate School, embraces three phases: Phase I: A two-day indoctrination period (September 10 - 12, 1960). Phase II: A nine-day workshop held in Williamsburg, Virginia (November 27 - December 6, 1960). Phase III: A two-day conference in summation of the efforts of the first two phases (February 2- 3, 1961).

The chapters that follow deal expressly with the basic principles of management as they were propounded during the course of Phases I and II of the fourth workshop held in this new program. It is hoped that the words that follow may be used not only as a report of proceedings, but as a future guide to management for all who participated so wholeheartedly in the course. With a sincere humility we dare to paraphrase the words of the resource leaders who spoke to us in such inspiring and stimulating fashion.

## THE FEDERAL EXECUTIVE

### THE JOB OF THE FEDERAL EXECUTIVE

by O. Glenn Stahl

*"In management, we have the one stable element in our process of evolution."*

*Oliver Sheldon*

#### The Challenge to the Public Executive

The job of the Federal executive presents a continuing challenge -- a challenge of high moral and spiritual purpose -- of great dedication to the Federal Government and to the people of this vast nation. For the public servant is an agent of public purpose. In the administration of public purpose or public affairs, it is the executive side which is the critical side. Regardless of the complexion of political parties in power -- regardless even of the type of government under which we may live -- the executive must remain the catalyst in the large field of public administration.

The Federal executive is endowed with a fearful power -- for in the democratic society he exercises the judgment and the power of the people.

#### Shortage of Executive Manpower

As noted earlier, we are faced with a shortage of executive talent which is the worst in our history. This shortage is in both quality and quantity of Federal executives.

The ranks of executives are thinning through retirement, and the recruitment of potential executives is insufficient in numbers and training to fill the gap.

We do not now prepare people for executive service. The colleges almost ignore this problem and their graduates are unprepared to assume decision making. They have failed to learn and to understand the basic skills required in the executive.

#### The Skills of the Executive

What are the basic skills which should be considered in filling executive positions? They are these:

1. Technical
2. Human
3. Conceptual

Of these, the first is the easiest. It is essential -- for the executive must know his job. He will begin his service in a science -- a technique -- a profession. He must be proficient in his field, but herein lies a danger. The technician, the professional, often becomes so deeply immersed in his profession that he is psychologically and mentally unable to assume the larger responsibilities of the executive function.

The human skills are vitally important. In recent years, however, it is possible that overemphasis may be placed on "human relations" to the detriment of other management skills. The human skills may be acquired. Basically, they involve a respect for the human personality and the use and understanding of communications between people -- communication up, down, and laterally. There are many barriers to effective communication and hence to effective action. The knowledge and practice of the human skills is a means of overcoming these barriers.

The third skill -- the conceptual role of the executive -- is perhaps the most important. Organizations resist intellect. They are suspicious of it and fearful of the intellectual. And yet the Federal executive must be an intellectual. Wisdom comes not from experience but from meditation on experience and the assimilation of that experience and the applications born of meditation. Top management demands a mental process of planning and thinking ahead. This involves a detachment from day-to-day operations -- an objective appraisal of what is being done so that functions, organizations, and operations can best be geared to the "broad" picture, the overall objectives of the agency or bureau. Imagination, creativity, mind-stretching, broadening -- these are the elements of the conceptual skills. Unfortunately, they are the most neglected of all management skills.

#### The Moral Qualities of the Federal Executive

It is not enough that the Federal executive master the technical, human, and conceptual skills. He must be endowed with a high sense of ethics which is founded upon integrity, courage, fortitude and a sense of moral justice. Without these moral and spiritual values, he can never be truly effective.

#### The Personal Attributes of the Federal Executive

In addition to the basic moral qualities essential to the executive, he must possess or develop a long list of personal attributes. Sincerity, intellectual curiosity, confidence in people, faith in men, emotional stability, imagination, desire -- these are the attributes which make for the outstanding executive.

The role of the Federal executive is a challenging one, and the rewards in satisfaction are great for those who would master the job. A

## RECENT INSIGHTS ON FEDERAL EXECUTIVES

by Ross Pollock

The shadows of ignorance under certain circumstances may be drawn back by individuals working and studying alone. For example, a postal clerk in South America with no formal education has, through his own efforts, developed to the point that he is a world authority on the subject of butterflies. When Harvard University has need for information regarding a particular segment of the sky, that University corresponds with a midwest banker who, through his own self-training, is in a position to furnish the desired information. Then, there is the elevator mechanic who has, through self-disciplined study, become an authority on electronic rays. However, the majority of people will not want to take the risk these people have taken. They are not willing to work on one job to support another interest. Instead they turn to organizations for (1) status; (2) security; and (3) the satisfaction that such employment brings.

Organizations and individuals have their own goals and, when these are different, a conflict results. Goals of organizations must be accomplished through people. It is, of course, difficult for an organization to recruit employees having the same goals as the organization itself. It is helpful, however, if an organization is able to secure employees who are somewhat flexible. In any event each organization has the problem of developing people so that they will work effectively toward the organization's goals. Talent must be harnessed in this direction.

It is important to understand what makes people behave like human beings. The viewpoint of an astronomer, for instance, is different from that of people in other groups. He may want to be free to do what he wants, but yet be a part of an organization. It is necessary to realize that each man lives in the center of his own world which is different from that of any other person. It is the job of the executive or manager to accept these differences in personalities and to weave them together in an organization. The executive, like other employees, wants security, is building his reputation, and is striving to maintain his position.

In order to understand other employees, an executive must first know himself. He must look at himself objectively and analyze (1) his motives; (2) his ideals and values; (3) his prejudices and loyalties; (4) how much he approves of himself; (5) his emotions; and (6) his physical characteristics. If he knows these things, he can then project himself into the minds of other people and learn to understand their personalities and problems.

In any organization it is not the individual employee who has responsibility for the results of the work accomplished. This is an executive responsibility.

In the Federal Government the President and high ranking members of his staff cannot carry on the work of the Government without the help of the Federal career executives. Projects frequently extend beyond the limits of the administration of a single political party. The Federal career executive must have a broad understanding of government and a feel for international relations. He must weld his work with that of others, thereby assuring continuity and adaptability to changing conditions. He must consider the relation of his work to that of other government agencies, both national and international, and make use of the skills and knowledge of all employees in his organization.

Managers and executives in government do not develop over night. They usually start out in some particular field and do not arrive at the managerial level until fairly late in their careers. In order to fill satisfactorily key career jobs in government, provision should be made for both training on-the-job and special training programs. Employees should be encouraged to develop themselves.

The Federal executive must get employees to accept their agency's target even though they as individuals may have other goals. The agency targets must be set, but they must also remain flexible. The Federal executive must know how to motivate people in such a manner that they will attain satisfaction in their jobs. To be effective he must know himself, individual employees, and the group of employees as a whole.

## FUNDAMENTALS OF MANAGEMENT

by Henry G. Herrell

People are important in our business. We may think we are managing a program, but in reality we are managing people to attain specific objectives.

There are three general patterns of leadership: (1) autocratic, (2) participating, and (3) laissez-faire. In actual practice any one, or a combination of these, may be effective in meeting the needs of a particular situation.

Regardless of patterns, one must deal with people on the basis of the Golden Rule -- "Treat others as you would like to be treated." Human aspects of getting the job done dictate that managers cannot afford to stand at the top and say, "I know all the answers." The greatest learning takes place where there is personal involvement.

In order to get a job done through others it is important to:

1. Have clearly defined objectives and policies.
2. Obtain employee's confidence.
3. Maintain good lines of communication.
4. Secure cooperation -- all the way.
5. Delegate authority.
6. Make the job duties as pleasant as possible.
7. Make employees feel they are an integral part of the organization, regardless of position.
8. Give praise for a job well done.
9. Explain the whole job and the parts.
10. Schedule (due date), evaluate, and control.
11. Arrange for feedback.

In an effort to determine whether we are doing a good job as supervisors, we should ask ourselves these questions:

1. Do I fully know my job?
2. Do I give full weight to other people's ideas?
3. Am I fair, consistent, and helpful?
4. Am I decisive, definite?

5. Would I like to work for myself?
6. Do I know where and when to delegate authority?
7. Do I get results?
8. How are morale and turnover?

The fundamentals of management may be summarized as follows:

1. **PLANNING**

Adequate, timely consideration of who shall do what; and when, how, and why.

2. **ORGANIZING**

Grouping similar functions in single-command, coordinated units having authority compatible with responsibility, so as to utilize men, money, and materials fully for achieving the organizational aims.

3. **DEPUTIZING**

Selecting, training, and placing individuals in positions, and authorizing them to do assigned jobs according to organizational plans.

4. **SUPERVISING**

Maintaining controls and inspection to reflect currently the adequacy of plans, effectiveness and efficiency of organization, extent of progress, and problems.

5. **HUMANIZING**

Considering the human desires, strengths, and weaknesses of each individual in the organization and assisting him to move toward "success" as he measures it.

6. **COMMUNICATING**

Communicate - communicate - communicate - vertically, horizontally, diagonally -- and then begin over again.

## PLANNING AND ORGANIZATION

### PRINCIPLES OF ORGANIZATION

by Jarold A. Kieffer

In a study of organization principles, a review of the evolution of the executive branch of the Federal Government is significant.

The Constitution established three independent branches of the Federal Government: the legislative, to formulate laws; the executive, to carry out laws; and the judicial, to interpret the laws. The make-up of the cabinet was not specified, but it was indicated that different departments would be established. At first the executive branch was relatively simple, but it has enlarged over the years as the duties of the branch have expanded and become more complex.

The first departments established were for the general benefit of all the public. Later some departments were set up for special segments of the public -- agriculture, commerce, and labor. More recently, general purpose departments have again been organized.

About one hundred years after the organization of the Federal Government, a new type of agency -- the regulatory agency -- had its beginning. This was to some extent a fourth branch of Government -- in the executive, but established specifically by the Congress with a board of commissioners with overlapping terms of office, so that it would be somewhat out of the control of the President.

Another type of agency has also developed -- the government corporation, with a business-type structure. Many of these are or will become self-supporting.

There are three recent trends in the organization of the executive branch. One is the establishment of management and coordinating agencies, such as the Executive Office of the President, including the Bureau of the Budget. Another is a tightening of control by the departments over their "sprawling" agencies. The third is a grouping together of agencies doing somewhat similar functions.

The examination of government for economy and efficiency is a relatively recent operation. The most sweeping changes have been made since 1948 as a result of the first Hoover Commission study. President Eisenhower made a significant reorganization in 1953.

Possible future developments include:

1. Strengthening the Executive Office of the President
  - a. Remove some details and review responsibilities from the President.
  - b. More coordination.
  - c. Planning Agency.
  - d. Position function of the Bureau of the Budget.
  - e. Establish Director of Personnel
2. Administrative vice-president or office of executive management.
3. Office for staff coordination and evaluation.

It will be interesting to see what direction future administrations will take.

Structurally the Federal department is composed of three segments.

1. Management -- The Secretary, the Under-Secretary, their deputies and others in the policy-making body.
2. Administrative -- the middle level of management concerned with day-to-day as well as long-range decisions. Charged with the implementation of policies from top management.
3. Production -- the day-to-day operation.

The division of labor within these three segments does much to influence the organizational structure which the department must use to achieve greatest efficiency. Additionally the abilities of key personnel add large influence on the type of organization to be used. The Federal department or agency may take any of five forms of organization. The suitability and the efficiency of the form to be used are largely dependent on the two above mentioned factors, the division of labor and the abilities of key personnel.

The five forms of organization presently used in the Federal Government are these:

1. Line organization -- Direct control from the management to the administrative to the productive segments.
2. Line and staff organizations -- Both management and administrative segments may have staff offices providing technical assistance.
3. Functional organization -- Administrative level is divided among two or more divisions according to functions performed with lines of control going downward through the functional division.

4. Line and functional staff organization -- Direct control goes down to the production level through one line of management but functional staff work is done by bureaus or divisions providing technical staff assistance vertically throughout the entire organization.
5. Committees.

No one form is superior to the other. All have merit. The important consideration is that the organization be tailored to fit the major objectives, the division of labor to be performed, and the abilities of those who must carry forth the objectives of the division, bureau, agency, or department. Often overlooked in any organization is the need for informal lines of communication within the structure. The more complex the organization the more imperative such lines of informal communication become. Regardless of the type of organizational structure, the success of that organization will be due in large measure to the adequacy of horizontal, informal communication within the organization.

## MANAGEMENT AND PLANNING

by Ewan Clague

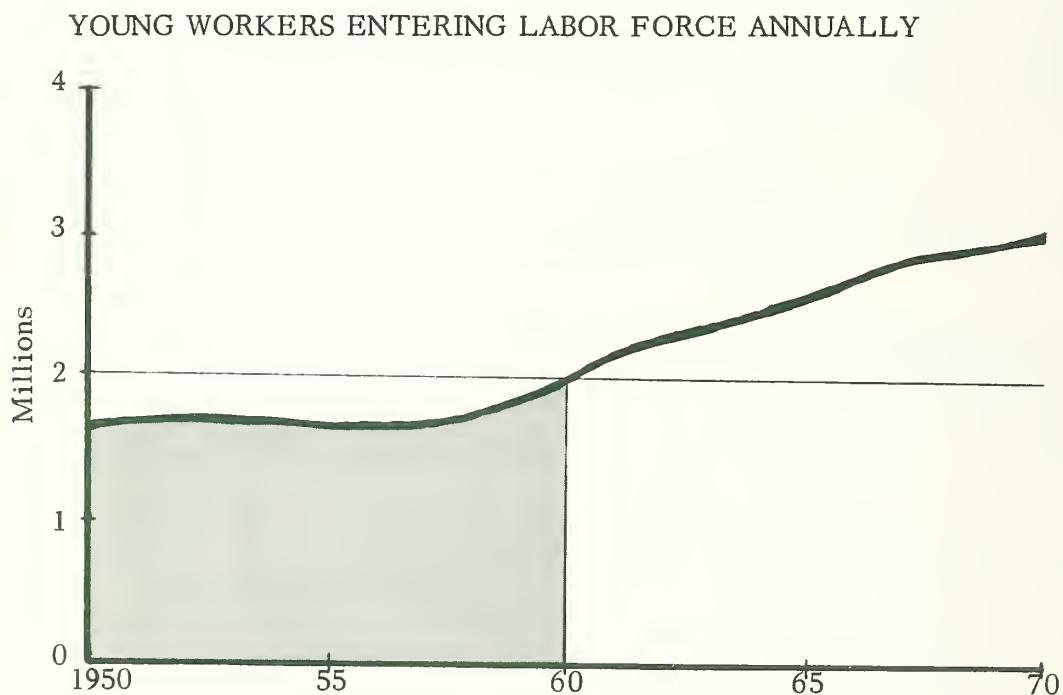
Planning is one of the most important functions of an executive. Proper planning takes many forms and requires constant re-evaluation if properly accomplished. To a Federal employee, as well as his counterpart in industry, this planning effort must include such items as:

1. Requirement for organization's present product or services.
2. Need for new products or services.
3. Personnel requirements - type and quantity.
4. Organizational structure.
5. Facilities and equipment.
6. Management philosophy.

One of the faults of many managers is that of inadequate long-range planning, possibly because it is the most difficult, in that it is a function of many variables which are neither under the control of the planner nor are they measurable. Considerable information is available to the manager and should be reviewed and analyzed before the planning task is attempted. Often seemingly unimportant or unrelated bits of information are ignored by a planner because all areas of responsibility are not considered. Two interesting, as well as

extremely important, forecasts were presented (to illustrate the speaker's product or service) which should be taken into consideration by Federal planners during the next 5 to 10 years:

1. Approximately 30% of today's top Federal employees will retire or leave by 1965 and almost 70% will have departed from Federal service by 1968.
2. The rate of young employees entering the U. S. work force during the next 10 years, as shown below.



These items alone will have a dynamic impact on the Federal service and, if proper planning is not accomplished and adequately implemented, the consequences could be disastrous.

Good management and planning must prevail at all levels of an organization and there is no set rule as to where it should start. At first glance it may appear that management philosophy and planning is initiated at the top of an organization and filters down; however, in many organizations it is conceived and nurtured through the ranks and accepted by top management. Two items were specifically mentioned as fundamentals in planning:

1. Avoid, if at all possible, large fluctuations in personnel strength and work requirements.
2. Budget and program planning should be accomplished simultaneously.

Communication was mentioned as one of the largest stumbling blocks in good management and the implementation of program planning. Emphasis must be placed on upward and downward, as well as lateral, communication throughout an organization if it is to accomplish its assigned duties efficiently. Each level of an organization must have knowledge of the information required to perform its duties and should have an understanding as to how its effort fits into the overall picture. One method of accomplishing this, as well as informing top management of the status of work in its organization, is periodic progress reports.

Presentations to higher authorities, especially Congress or the Bureau of the Budget, could mean life or death to an organization. Particular emphasis should be placed on making good presentations. The type or purpose of a presentation can vary from presenting information to subordinates to selling a program to a Congressional committee. Several pointers for Federal executives, who must appear before Congressional committees, were mentioned.

1. Don't take a large (or even a small) staff with you to a hearing. You are on the stand and they want to talk to you.
2. You must convince the committee, in an indirect manner, that they should have confidence in you.
3. Know to whom (by name, likes, dislikes, background, etc.) you are talking.
4. Know your subject. One good way to assure this (if it is possible) is to rehearse it before your own people and let them comment and ask questions.

## RECENT TRENDS IN MANAGEMENT AND CHARACTERISTICS OF THE WORK GROUP IN THE ORGANIZATION

by Gordon L. Lippitt

During recent years there has been great attention and, at the same time, great derision placed on the work unit as a group. A pessimistic attitude has developed over the possibility of getting work done by work units. Because of the difficulties involved there is a continuing tendency to ignore or avoid developing effective work units.

And yet everyone in an organization is a member of a group or, more generally, of several groups. A manager is a participating member of a group "upward" and at the same time a leader of a group "downward." He acts as a "linking pin" between the "upward" and the "downward" groups. Administrators and office executives spend a large proportion of their time working with these groups. A recent study indicated that the average executive spent approximately 60% of his time working in group situations.

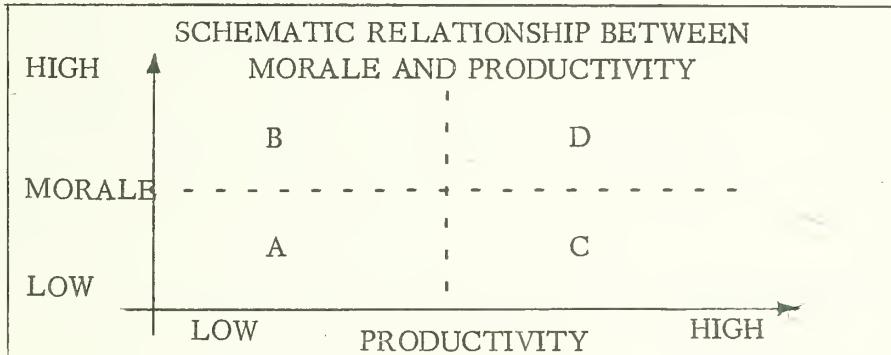
In the past 10 years social psychologists have devoted more and more research to the group phenomena. "Group dynamics" has become an area of great interest. This research has lead in a swing away from the two major trends in management which have been dominant during the last sixty years. First of these was the trend toward increased productivity through "scientific management" -- division of work, time study. While substantial gains were made in the area of productivity, the social effects of job division and standardization were questionable. The view that the workers as individuals could contribute nothing of value to the organization or to their jobs and to the methods of work to be used caused much resentment. The "speed-up" and "efficiency engineering" were the sources of much hostility on the part of workers and supervisors alike.

In the mid twenties studies made at the Hawthorne plant of the Western Electric Company showed conclusively and quantitatively that workers responded to scientific management methods by restricting production to levels which the workers themselves felt were appropriate. The studies also showed that when hostilities, resentment, suspicions, and fears of workers were replaced by favorable attitudes, a substantial increase in production occurred. Unfavorable attitudes exerted a restraining influence upon productivity. Additional studies in other areas showed the conditions existing in Western Electric to be relatively widespread. Morale and motivational factors were found to influence productivity in a significant manner. From these small beginnings emerged the trend toward the morale or human factors in management.

During the past 15 years this second trend -- the "human relations" trend -- has gained even greater impetus. Subsequent studies have shown that "employee-

"centered" supervisors are higher producers than "production-centered" supervisors. Additionally it has been found that over-close supervision of first line supervisors limits productivity whereas production heads coming under a more general supervision have shown a higher rate of productivity.

Studies made quite recently have shown that "human relations" factors alone do not necessarily lead to high productivity. Some work units have low morale and low production. Other units have fairly good morale but low production. Still a third group have fairly good production but low morale. Finally, other units have both high morale and high production.



Units with low morale and low production (Area A on the chart) tend to have supervision which is laissez-faire in character and in which the leadership function has been abandoned to all intents and purposes. Units that fall in Area B, with fairly good morale but poor production, tend to have supervisors who try to keep people "happy." These supervisors are often found in companies in which human relations training programs have been introduced and emphasized. Into Area C fall those units with technically competent supervisors who are pressing for production. Area D includes those work units having supervision that results in high production, with high morale, high satisfactions, and high motivations. This kind of supervision represents an integration of the scientific management and human relations approach which has not been fully achieved and about which we are not yet fully informed. In this regard it is interesting to note that there is an important and increasing amount of research findings that indicates that supervising each work group primarily as a group, rather than relying on the man-to-man relationship, results in higher productivity, greater job satisfaction, and greater motivation. Potentially the place where the individual can count the most is in the face-to-face relationships of the work unit.

In order to develop the full potential of the work unit it is necessary to understand the qualities of the unit. There are ten fundamental characteristics of the work unit. These characteristics are referred to as either maintenance factors or task factors. It is well to look closely at these fundamentals of group behavior in the work unit.

1. Maintenance Factors (either physical or personal maintenance).
  - a. Work unit background -- history, relationships, prejudices.
  - b. Work unit participation pattern -- who talks to whom, who are the leaders, dominating situations, informal controls.
  - c. Work unit communication patterns-- common understanding, common language, nonverbal communications (studies show 75% of work stimuli derives from nonverbal communication). It is vital that the work unit develop an ear for the music of communication -- the harmony, the discords, the overtones and undertones.
  - d. Work unit atmosphere (the climate of work) -- tense, relaxed, formal or informal.
  - e. Work unit cohesiveness -- ability of a group of people to relate together to get a job done.
  - f. Subgroups -- not bad or good; can be used to advantage at times.
  - g. Group standards -- developed by the group. People tend to support that which they create.
2. Task Factors -- work performance, appearance.
  - a. Work unit goals -- whose goals, who sets, short or long range, nature.
  - b. Work unit procedures -- methods, who establishes, appropriateness.
  - c. Work unit leader -- the pattern of behavior.

Research in the field of group relations indicates three basic types of leadership: autocratic, democratic and laissez-faire. Recently a new type of leadership has emerged, falling somewhere between the autocratic and the democratic. This type of leader is known as the benevolent autocrat. A study of 385 Federal executives indicated that 67% could be classified under this heading. The benevolent autocrat is typified by the person who wants to do something for the good of the group but just doesn't know how to go about it. He has the technical training necessary to be a good manager or supervisor, but lacks the skills for applying effective democratic leadership. Because of this he fluctuates from the benevolent to the autocratic in varying degrees. He creates a sham -- a facade of being hale, hearty, and well met.

The good executive develops the talents of those under and around him. Such an administrator really understands that staff participation and decision making can be helpful in determining policies and making decisions. Management of this sort is keyed to a "continuum of administrative behavior" wherein decision making may run the full range from completely "boss-centered" to completely

"group-centered." Three forces or conditions affect where in the continuum you as a manager will operate.

1. Forces in you, the Leader.
  - a. Personal value system.
  - b. Tolerance for ambiguity.
  - c. Confidence in subordinates.
  - d. Personal skills.
2. Forces in Subordinates
  - a. Their expectations.
  - b. Their knowledge.
  - c. Their ability to work together.
3. Forces in the Circumstances.
  - a. Time.
  - b. Nature of the problem.
  - c. Organizational value system -- reflection of management philosophy -- the climate of work. (A common philosophy of management, personnel and training is essential for effective management.)

In the continuum of management behavior it has been found that decisions are reached more quickly in directive (boss-centered) management, but that full and effective implementation is reached much more quickly through participative (group-centered) management.

Far too often the common goals of the organization, the work unit or group, and the individual are never reached, because of incompatibility between the organization and the individual. The stated goals of the organization are obscured by the unstated emotional levels of human behavior. Organizational activity tends to return people to the infantile state. The organization may thwart the expansion of the individual. It is incumbent on management to focus on greater compatibility between the organization and the individuals who make up the work group. This direction leads to an organizational value system which will be a significant force in determining the role of the executive in the continuum of management.

The effective administrator, bent on improved compatibility between organization and the individuals, reflects these dimensions of management leadership:

1. Self-insight.
2. Situational sensitivity.
3. Diagnostic Ability
4. Role flexibility.
5. Problem-solving skills -- a spontaneous competence.

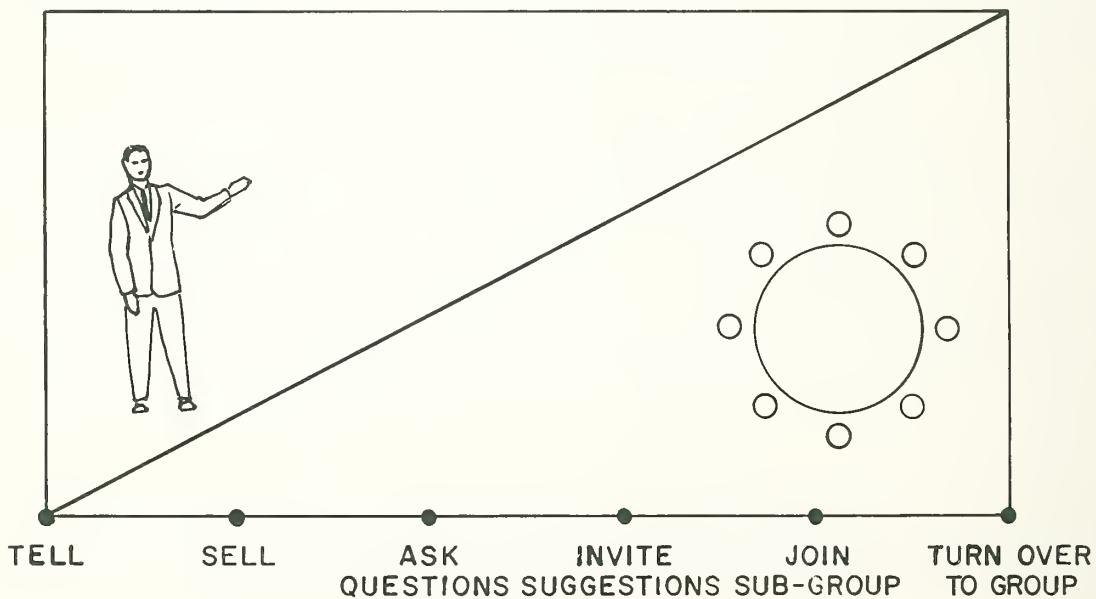
The exercise of these qualities will help the executive become aware of the factors of group behavior and become sensitive to the improvement of working with people, so essential today. Through an understanding of "group dynamics" new heights in management productivity may be reached.

"The need for democratic leadership is more prevalent than ever before. In this age individual freedom and growth throughout the world is threatened by communism and other forms of totalitarianism. It becomes increasingly important that, as leaders in our society, we develop the kind of leadership ability that will encourage strong and wise individuals, alone and with others, to reach good decisions and solve their problems."\*

## THE CONTINUUM OF ADMINISTRATIVE BEHAVIOR

**DIRECTIVE MGT.**  
"BOSS-CENTERED"

**PARTICIPATIVE MGT.**  
"GROUP-CENTERED"



\*"How to Get Results From a Group," Gordon L. Lippitt.

## COMMUNICATION

### THE ART OF COMMUNICATION: LEARNING THROUGH LISTENING AND READING

by Edmund N. Fulker

Communication, the transmission of ideas between people, may take many forms which involve the entire range of sensory perception. Sight, sound, taste, touch -- all may be used to send or receive ideas.

Of them all we rely in the main on those which primarily attach significance to the symbols of the written or spoken word. These then are the so-called Verbal Expressions. They may be classed in two groups -- the expressive or sending group which embraces speaking and writing, and the receptive, which is made up of the arts of listening and reading. We have called these modes of expression "art" for they all demand active participation. Intelligent listening and perceptive reading must be active processes.

There are many barriers to effective communication, however, both in the sending and in the receiving. These barriers limit or alter communications so that the message sent and the message received are never exactly the same.

Bearing in mind the changes in communication because of unseen barriers, we may establish three basic principles of communication:

1. The message in the sender and the message in each receiver differs.
2. Meaning itself is not in a symbol. Meaning is in the brain and experience of the receiver.
3. What is received, understood, and remembered is influenced by the past, the experience, the very needs of the receiver.

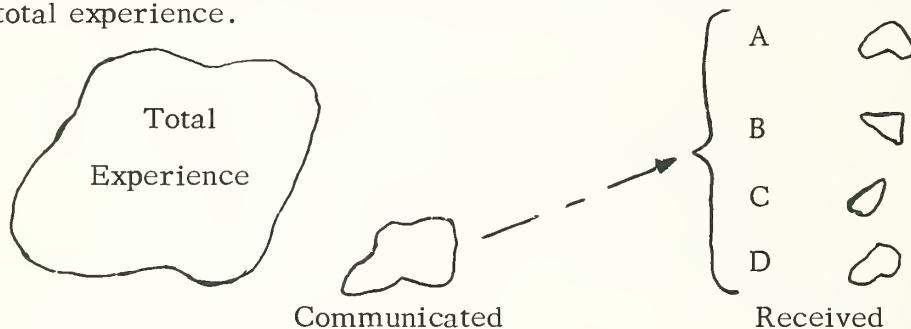
What are some of the barriers which limit the effectiveness of both sender and receiver? On the part of the sender, we find barriers against input. The sender only accepts and comprehends what he really wishes to know. There are barriers as well against the output of the sender. He arbitrarily exercises selectivity; he conveys only a very small portion of his total input. He tells only what he wants others to know. The ability or lack of ability in expressing himself presents a barrier to the successful transmission of ideas. Semantics -- the choice of words -- technical phraseology, these are serious barriers to communicative output.

The receiver, too, has many barriers to effective communication. The distractions in sight, sound, and other thoughts are very real roadblocks in

the way of idea transmission. Who, for example, has not had his thought processes so stimulated by communication that he suddenly finds himself taking off on a mental tour of related subjects to the point that he has missed the stream of thought directed his way.

Lack of knowledge is a most prevalent form of barrier. Unfamiliarity with technical terminology or jargon, ignorance of the field of activity under discussion -- these limit seriously our ability to perceive. Physical discomforts -- uncomfortable chairs, poor lighting, personal fatigue, unpleasant odors -- all play a part in lessening perception. The boss-subordinate relation is in itself often a barrier to effective communication. The barriers to communication are physical, psychological, and cultural.

As a result of these barriers, the total information received is only a small part of the total experience of the sender. The accompanying chart gives graphic demonstration of the reduction and change in information received as it relates to the total experience.



The chart illustrates that which usually occurs in a communication process. The amount of the total Experience that is actually communicated is quite small. In addition, if A, B, C, and D represent various individuals, it is seen that the communication received is of various sizes and shapes depending on the conditioning of the receiver. From this rather elementary chart a few principles of communication can be observed:

1. The message of the sender and the receiver is different.
2. The message is different in each receiver.
3. That which is perceived, understood and remembered is influenced by the past life, biases, fears, needs, etc. We see what we have been taught to see and hear what we have been taught to hear.

We must engage in an active process of listening or reading to overcome these barriers to perception. Because the rate of comprehension far exceeds the rate of speaking (60 to 100 words a minute for effective speech to upwards of 600 words a minute for comprehension), there is need for even greater systematic activity in listening. To fill the gaps between rate of speech and

rate of comprehension requires mental discipline. First we must desire to perceive. From this point mental summarization, evaluation, organization, anticipation are vital adjuncts to listening and comprehension. There must be a sensitivity -- a rapport -- between sender and receiver that can be actively achieved. The making of notes is essential. We stress making rather than taking of notes, for notes to be effective should be selective rather than reportorial. The literal taking of notes can in itself be a most difficult barrier in this art of communication.

Let us examine now the reception of thought through reading. What active processes may we employ for the surmounting of barriers to reception?

Reading in itself is perhaps the most highly abstract and complex process society requires of us. It is hard to learn and hard to teach. Through the years most of us developed many poor reading habits. To make matters worse, the great bulk of reading done by most of us has been study or technical types of reading which are necessarily slow and laborious.

There are techniques for improving reading ability and consequently increasing comprehension. Chief among them is the S-P-D formula -- a general approach for processing and reading practical prose.<sup>1</sup>

In considering this formula, it is wise to consider first the organization and structure of practical prose. Most well written prose has three parts. Whether it is a textbook or a chapter, a magazine article or a long scientific treatise, it has: (1) an introduction; (2) a development of the topic or idea; and (3) a conclusion, summary, or ending.

The S-P-D formula is designed to give the reader a bird's-eye view of the author's message -- what he has to say, and how he has organized his material. This approach will help one to read ideas rather than words. It stirs up an increased mental activity in reading -- a heightened selectivity and discrimination. The end result is of course better concentration, improved understanding, and a larger retention.

What specifically is the S-P-D formula? Simply this: Survey - Preread - and Decide. Parts of the formula are explained in the following quotation from the Department of Agriculture publication referred to earlier:

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<sup>1</sup>See "A Formula for More Efficient Reading," Misc. Publication #753, U. S. Department of Agriculture.

S -- Survey: Your first step in attacking any practical prose is to size up the task ahead and define your purpose for reading. You should ask yourself: What is all this about? Who wrote it? When? Why am I reading it? How long is it? How is it organized? What are its parts and subparts? Where are the introduction, the body, the ending? At the same time look for illustrations, graphs, tables and clues to the author's style and the type of paragraphs he constructs. If the author has written a summary, you may want to read this first.

P -- Preread: Let us say you are reading a short article, one you have surveyed and prepared yourself for reading, tentatively identifying the three main parts -- the introduction, the body, and the ending. Your next steps are:

1. Read the introduction (first paragraph or two) rapidly.
2. Read the first sentence only of each succeeding paragraph until you reach the last paragraph or two. (Well written paragraphs usually have a "main idea" sentence. While the topic sentence may be located anywhere in the paragraph, most often it is the first sentence.)
3. Read the last paragraph or two rapidly.

At this point you should have a rather good outline of the author's message. Now --

D -- Decide: Several courses of action are open to you:

1. Skip -- You may find that the article is not what you want. You may skip it or leave it unread.
2. Skim -- You may decide that it contains a fact, name, date, or idea you can use. Your next step is to skim, or let your eyes pass quickly over the print to locate what you want.
3. Read -- You may decide that the article is important enough to read. If so, return to the beginning and read it thoroughly to fill in the ideas you missed in your prereading.
4. Study -- Finally you may decide that much of the article is worth remembering. You might then adopt a number of learning techniques such as underlining important ideas, making marginal notes, reciting

to yourself, rereading parts, and even outlining the ideas or summarizing orally or in writing what you have read.

For a time you will have to perform each step consciously. You may feel that you are not comprehending as well as you should. This, too, is natural. Until this approach becomes more or less automatic with you, your comprehension might be adversely affected because of your preoccupation with the steps involved in the approach rather than the ideas in the article you are reading. Gradually, with continued application of the approach, you will find yourself understanding not only as much but more of what you read.

The S-P-D approach as just outlined may be used effectively in reading almost all practical prose. In general, the longer and more difficult the material to be read, the more the approach can help you.

In summary, the S-P-D approach is designed to help you become a more efficient, more active, and more flexible reader. It is designed to help you read for a purpose and proceed in the most efficient way to accomplish your purpose. Some materials you will want to skip altogether. With other materials a rough idea of the contents may be all you need. Finally, some materials you will want to understand thoroughly and perhaps commit to memory.

## COMMUNICATIONS IN MANAGEMENT

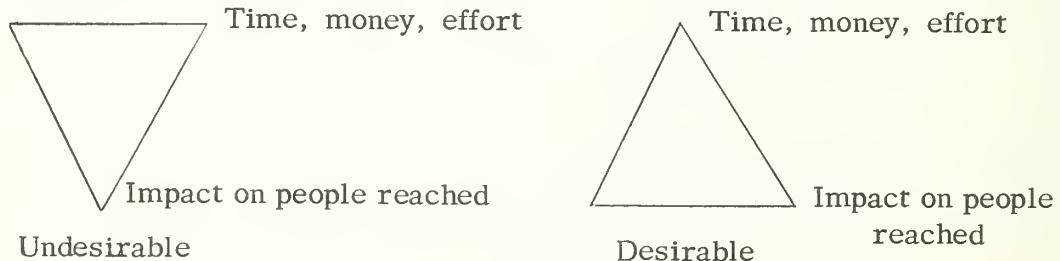
by John Morrow

According to Webster's Dictionary, the word "communication" may be defined in a number of different ways. One approach is to consider it as a means of arriving at a common understanding.

The need for such an understanding arises in industry and government alike. Management is constantly concerned with accomplishing certain objectives in an organization. Through various communication media, ideas are transmitted to accomplish some purpose that management has in mind. As a result of communication, changes occur in attitudes, understanding of facts, and in skills. In this connection, it is noted that it is less difficult to bring about a change in skills than in attitudes and understanding.

There are a number of serious blocks to communication. One is the listening barrier. As a general rule, approximately 60 per cent of what is said is actually heard and only about 25 per cent is comprehended by the listener. Another block is the human element. If there is failure in communication, so often the one sending the message has the attitude "I'm O. K., but he just can't understand."

The job of the manager includes more than technical skills. He must be able to communicate. If he fails in his efforts along this line -- i.e., if the receiver does not get the facts he needs -- the manager should examine his method of communication in order to determine the reason for failure. He should be willing to accept at least 50 per cent of the blame. Instead of the results of communication being in the form of an inverted triangle, with the broad base representing input and the small point representing amount of impact, the pattern should be reversed, if possible, with the point signifying input and the base impact.



In order to communicate effectively, the following steps should be kept in mind:

1. Clarify briefly the idea to be transmitted.
2. Determine method of transmitting.

3. Decide on the type of motivation from the receiver's standpoint.
4. Arrange for and analyze feedback.
5. Follow up and correct areas of misunderstanding.

In communicating to employees, it is important that management take time for employees to express their views and ask questions.

It is essential to understand the elements of communication, which are the same regardless of whether the communication is on a person-to-person, person-to-group, or a mass-media basis. These elements include "who" (sender of the message), "what" (content of message), "whom" (audience) and "what effect is desired?" Any communication involves the question, "Who communicates what, to whom, and in what channel?"

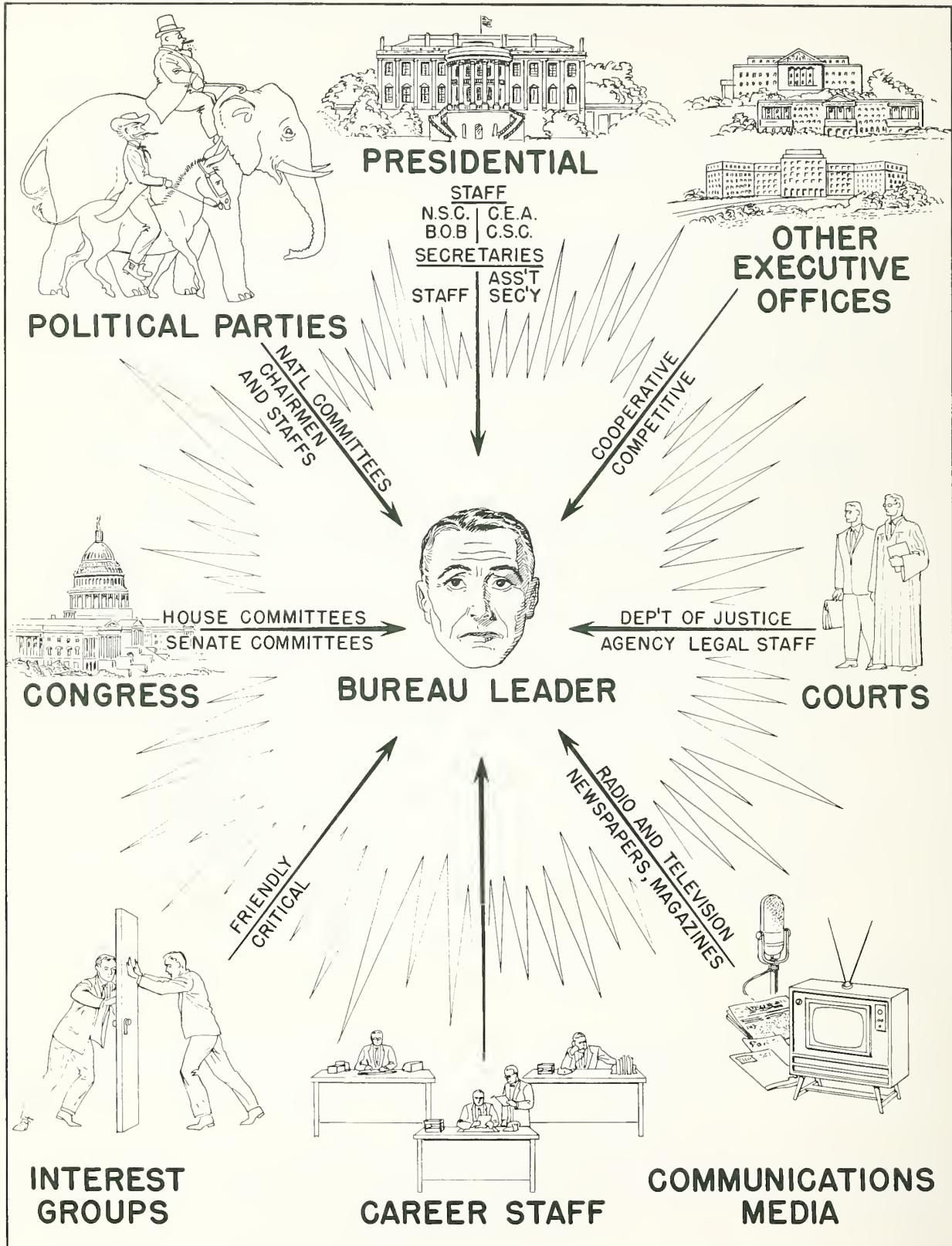
Managers planning to communicate should ask themselves such significant questions as:

1. What are we selling?  
Information only, confidence, need for action, support for opinion?
2. To whom?  
Can audience made decisions, are they interested, what language do they talk, how much do they know about the question, are there any leaders, are we selling to the group or to individuals in it? (It should be kept in mind that opinion leaders as well as legitimizers and initiators play an important role in getting ideas accepted.)
3. Against what?  
Vanity, timidity, inertia, pride, prejudice, ignorance?
4. In what atmosphere?  
Is there bias or opposition, are there boosters, is anyone sympathetic, or hostile?

The following steps are usually involved in selling an idea: awareness, interest, trial, evaluation, and adoption.

Through demonstrations involving instructions for putting on a coat and for inspecting blocks, it was concluded that there is more to communication than "telling." The end result should be common understanding.

It is important for managers to continue making investment in their own careers. Through reading and training programs, they should keep informed of developments in the field of communication.



## DECISION MAKING

### DECISION MAKING IN GOVERNMENT

by Wallace Sayre

The environment of decision making for a Federal executive (Bureau Chief) is an entanglement of demands, pressures, and counter-pressures as illustrated on the opposite page.

Constitutionally there are three major lines of pressure imposed upon the decision maker at the Bureau Chief level -- Presidential pressure, Congressional pressure, and the courts. Five other lines of pressure not constitutionally established, but extremely potent nevertheless, are political (party), self-interest groups, career civil service personnel, other executive agencies, and the communication media.

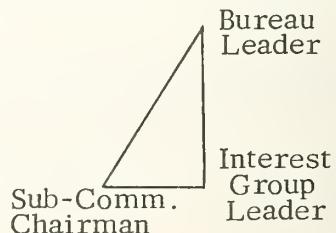
The composition and types of pressure of these groups, which tug and pull and create stresses and strains on the decision maker, are as follows:

1. Presidential -- activities below speak with different emphases.
  - a. White House staff
  - b. Independent executive agencies such as:
    - (1) Bureau of the Budget (also exerts own influence separate from White House influences)
    - (2) National Security Council
    - (3) Civil Service Commission
  - c. Department Secretaries
    - (1) Assistant Secretaries
    - (2) Under secretaries and staffs
2. Congress
  - a. Committees and sub-committees
  - b. Congressional staffs -- exert influences in name of the committees, sometimes autocratically without authority.
  - c. General Accounting Office
3. Courts
  - a. Department of Justice -- provides advice on what courts will permit.
  - b. Bureau legal staffs -- provides same advice.

4. Political parties -- influence waning except in passing on job applicants at highest policy-making levels.
  - a. National Committee
  - b. Committee staffs
5. Interest (pressure) groups -- can be "friendly" or antagonistic -- conflicts here are sometimes resolved by encouraging "interest group" to battle other "interest group" thus nullifying the pressures.
  - a. Citizen groups
  - b. Self-interest groups
  - c. Advisory committees
6. Career staffs -- potent force because of virtual monopoly on data required to meet criticism. Career personnel can select "significant" facts and "load" arguments to recommend alternative favorable courses of action.
7. Other executive agencies
  - a. Competitive -- i.e., Park Service vs. Land Management. Actions are taken to prevent the competition from growing stronger.
  - b. Cooperative agencies -- a "price" may be exacted for future reciprocation for cooperation.
8. Communication media -- tends to set the stage for others.
  - a. Newspapers
  - b. Radio and TV
  - c. Special journals and magazines

The Bureau Chief, caught in this spider web of pressures, soon discovers that the arena of decision making is further complicated by continuously changing alliances of these groups, depending upon the issue at stake and the bargaining which is entered into, sometimes without even his knowledge. The results are such that final decisions are never made in a vacuum, but are most often made by bargaining and compromises in which the bureau leader often tries to reverse the arrows of influence by forming his own alliances with favorable pressure groups, by his own bargaining compromises, and by "planned leaks."

Very often decisions are made by the "cozy triangle" method in which the bureau leader, interest group leader, and Congressional sub-committee chairman determine an acceptable course of action, thus effectively negating the other five lines of influence.



## PRACTICE IN DECISION MAKING

by Henry Herrell

As managers, we are in the people business. In dealing with people it is necessary to consider the feelings of those with whom you are associated -- not only those under your supervision, but also your boss and all others in your area of operation.

The difficulty of making decisions is vastly increased by the fact that each decision has plus and minus factors. The lift in morale an employee experiences when you give him an award is on the plus side. The disappointment felt by many associated employees as a result of this award would be on the minus side.

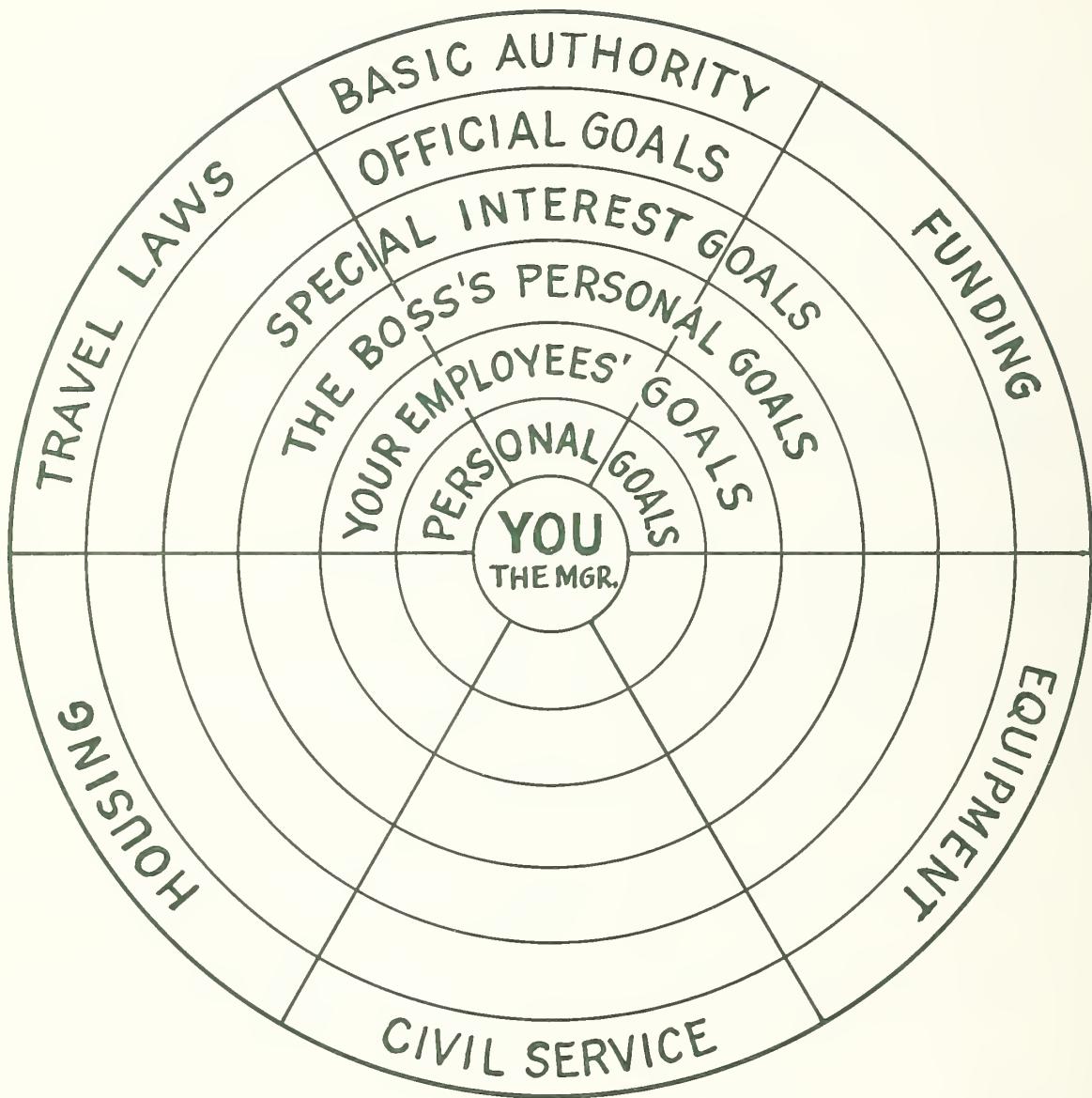
Four characteristics which an administrator needs are: (1) courage; (2) fortitude; (3) justice; (4) prudence.

The "In-Basket" exercise presented at this conference is a new type of training activity. This exercise brings out these facts:

1. Decisions must be carefully thought out and a good manager should not jump to conclusions.
2. A manager should make decisions with the courage of his convictions.
3. Good communications are essential.
4. Line responsibility cannot be by-passed.

This type of training activity was developed at Princeton University and is now being used by government and industrial organizations.

The circles of decision influence are illustrated in the chart on page 30.



DECISION MAKING  
CIRCLES OF INFLUENCE

## HUMAN FACTORS

### HUMAN FACTORS IN MANAGEMENT

by James Enneis

"The self in interaction with others," both as a means of understanding the managerial role and as a tool of management, adds a personal dimension to the study of management. The manager's problems as a person must be looked at, as opposed to the objective environment within which a manager operates.

Adaptability and flexibility are recurring themes in this study. There are no set formulas for handling employer-employee relations. A manager can operate equally well on a friendly or aloof basis. He has only one tool -- himself. He must know himself. With that knowledge and an understanding for the situation, he has the basic materials for handling managerial problems.

The manager must very frequently deal with employees with personal problems. These personal problems may very well have dire effects on the productivity of employees even though the problem is in no way work oriented. The manager must realize that he is dealing with the entire individual and that the separation of personal life and business life is impossible. If a feeling of mutual concern and mutual respect exists, people will tend to communicate freely and to lay even personal problems out for solution (or at least discussion). A manager is responsible for the maintenance of an atmosphere of sympathetic understanding and interest, and the creation of a recognition that he is available and ready to aid in any way possible. It is not the manager's job to try to convince another person that he (the manager) is right. It is his job to develop a feeling for the whole situation. In an attitude of mutual respect, with the barriers to common understanding removed, the problem as a whole can be recognized and actions taken to conquer it. An employer, in dealing with employees, must have the capacity of understanding and a concern for the employee's problem if he is to deal with it effectively. If his approach is to be mature, he must think of people as individuals. As long as he treats people as angels and devils, he is still a child.

Images people have in relation to others are potent factors in management. For instance, an image of each manager is projected throughout an organization. It can surely be stated that the image one projects in the organization does more managing than the person himself. If the projected image is faulty, changing it is a first order of business. The image created must be one that is effective and with which the manager can live. In this vein, it should also be pointed out that the "informal organization" of an agency is often much more powerful than the formal.

While managers must deal with the psychological problems of employees, the objective of management -- the job to be done -- must be kept in mind. The manager must handle such problems to the extent that they affect the job, subject to the condition that the employee seeks help and the manager is willing to give it. A manager must seek to keep control by his attitude and through his control of the atmosphere. Control does not necessarily mean a state of perfect adjustment. This may simply mean stagnation. Anxiety is a necessary condition of change. Extreme or bizarre behavior may indicate serious trouble in an organization. But nonconforming behavior, if not done for the sake of nonconformity, may be a sign of creative potential.

## HELPING YOUR PEOPLE DEVELOP THEMSELVES

by Fordyce Luikart

Employee development in the government has been of considerable concern for decades; however, until the mid 1940's, regulations and laws prohibited the use of government funds for training personnel unless specifically authorized by Congress. This was based on the theory that individuals were qualified for their positions when hired and needed no further formal training. In the late 1940's, some exceptions were made and off-the-job training was sanctioned to a small degree. The requirement for increased training of government employees was realized, in both technical and nontechnical fields, and in the 1950's legislation was passed giving, for the first time in history, full governmental support. Management, or executive training, was among those plans which emerged during the late 50's.

Managers first need to consider self-development before attempting to help others, especially those with some years of supervisory experience. This is true primarily because of the postwar shift in emphasis from "management through command" to "management through responsible judgment." Present day systems of organization require the self-respect of employees as well as the respect of management.

The great challenge to today's managers is this "new" relationship with the people involved. People are the most significant variables. One of the surest ways to fail as a manager today is to ignore people or to be ignored by them. Therefore, management basically is the development of people.

There is no set pattern for an executive to follow in guiding individuals in their work; nor is there scientific measure to determine how a person is developing.

Among the many items to be considered in development, the most important is to recognize and respect uniqueness of the individual. This, together with the individual's recognition of the need for self-development, forms the foundation for a good development program. The recognition of man's needs is not new since they have been highlighted in the Bible, ancient philosophy, and in old literary works.

Today's drives and aspirations of man are exemplified by the following wants, listed according to their priority: (1) fair treatment; (2) self-recognition; (3) economic security; (4) pride in association; and (5) need for crisis or challenge.

While there are no hard and fast rules for helping people develop themselves, the following principles are generally applicable:

1. A manager must know himself, have confidence in himself, and help himself before he can help others.
2. The uniqueness of individuals and their desires must be of prime consideration.
3. Development must essentially be self-development (not a carbon copy of the boss), but it needs to be "sparked."
4. Assistance must be given in the positive vein.
5. Supervisor and worker must perform in an atmosphere of mutual respect for each other and for what needs to be done.
6. Continuous rather than periodic or annual assistance must be provided.

#### HUMAN RELATIONS CASES

by Nathan Baily

Two "real life" cases (the Dashman Companies and Vandercook Chain Stores Cases) provided vivid experience in dealing with human relations problems in the management field.

These cases were used to demonstrate that there are no standard routines to follow in dealing with management problems, no pat solutions, and no one solution to a given problem. The manager is part of a constantly changing situation, each problem facing him is unique in some respect, and he must learn to deal with each one individually by sharpening his perception of the human factors involved and by developing his capacity to think and react to them in a responsible manner.

The discussion developed several principles which should guide managers in dealing with these human situations. First, the manager must explain what he does in terms of the viewpoints of the people affected and not in terms of his own viewpoint. Second, a clear and logical order will not be automatically obeyed. The manager wants cooperation and this is something which must be sought, not ordered. Third, the new manager must suppress the temptation to start doing something in order to make a good impression. He should determine first where his help is needed and what others think he might do to help. He should keep in mind the basic principle of behavior for newcomers which is less action and more interaction.

The case method as a technique for providing training in management principles originated at Harvard University. Case method adherents contend that in studying management the objectives are to acquire the ability to think and act responsibly, to work cooperatively with others, and to provide other opportunities to work effectively and with satisfaction within a group. They feel that the student cannot be told how to do these things and that the usual lecture method of teaching is, therefore, not as effective in teaching management principles as it is in teaching subjects which entail learning facts or rules.

## PERFORMANCE REVIEW

by Elbert Burr

In recent years far-seeing administrators and executives in industry and in government have been looking with a new awareness to performance review as an indispensable aid to good management. Performance review -- the systematic, scheduled analysis of the work performance of each employee of the organization by his immediate superior -- must be an activity of management for it is an integral part of management development.

What do we mean when we say "management development"? Primarily, we think in terms of improving management skills -- the art of getting things done through people. It is essential that the skills of all levels of management be increased. Fundamentally the responsibility for the training of supervisors in the management techniques is a basic function of line management. Staff organs may provide guidance and assistance, but the primary responsibility for improving management rests solely with the line organization.

The strongest relationship in the organization is the supervisor-subordinate relation. Hence it is in this area that performance review can be most effective. It should always be clearly understood, however, that the supervisor should appraise the performance of an individual only to enable him to perform an effective job of management improvement. The appraisal should serve to point out those areas in which the individual could be expected to show improved performance. The supervisor must always concern himself with the development of the abilities and qualities of his subordinates. The responsibility for effective use of subordinates rests on the supervisor. This is his most important task.

From the standpoint of the individual, what should performance review accomplish -- what are the corner stones of a good management review program? First, the individual needs to know what is expected of him in his job -- what are the key relationships, the duties of the job, the over-all objectives? Too often line management relies on a job description developed by staff people for compensation purposes. Often this "job" description bears little resemblance to the position being described. It is important that line managers rely on a "position" description which is a living document -- a bridge to improved communications between the supervisor and subordinate. Such a position description should state what is really expected of the subordinate -- what the true goals are.

Second, the individual needs to know how well he is doing. Perhaps there are occasions when the individual does not really wish to know, but improved performance is contingent upon the individual understanding his own level of

performance. The supervisor then has the responsibility for establishing this measure of performance.

Third, it is essential that the individual receive assistance when and as needed. The appraisal may point out where such help is needed. It is the responsibility of the supervisor to provide or arrange for the necessary help which is such a fundamental part of his management task.

Finally, there must be awards or penalties for the individuals in the light of the performance review. Awards do not necessarily have to be monetary. They may well be morale factors, such as job enlargement or job diversification. The opportunity for travel on the job might well be considered an award for exceptional work. The opportunity to work for promotion is an effective award and it is vital to evaluate each employee constantly to determine potential promotability. Conversely, penalties may be imposed by withdrawing some of these privileges, by narrowing down the scope of the job, by restricting travel. The important thing to remember is that there should be awards and penalties given and, more importantly, that targets for improvement are set with the individual so that each will know the direction in which he should be heading.

The performance review process consists of four steps: (1) position description, (2) appraisal of performance, (3) discussion, and (4) a plan for improvement. The appraisal provides the opportunity to communicate with the individual and relate results to an objective. It also helps the supervisor to understand himself better. The appraisal in itself is difficult to determine for the appraiser holds the economic security of the employee in his hands. Consequently the supervisor is apt to encounter resistances which must be overcome in the discussion stage if the review is to have value. These factors may be considered in reducing or eliminating resistance:

1. A sense of humor and the ability to be understood.
2. The ability to adapt to changing situations.
3. The intelligence to recognize the reality of the supervisor's own situation.
4. The exercise of reason instead of emotion.
5. The courage of convictions, matched by a tolerance for the convictions of others.
6. Always play fair.
7. The conviction that life is a long-range process and momentary crises can be put in their proper perspective.

In completing the appraisal and preparing for the next stage of post-appraisal discussion, it is advisable to develop a scale rating as a guide to the interview.

A simple tally sheet of plus and minus factors is generally more effective than a regular form. More important than the physical structure of the rating sheet is the necessity to provide the employee with the results some time prior to the discussion. It should be pointed out that individual elements of the rating are more important than the total rating. In this way the employee is given an opportunity to make a self-analysis of his own progress and the areas in which he needs improvement. The employee should have the chance to speak of his long-term personal objectives. It is thus necessary that the supervisor develop a complete openness with the employee. It is only in this way that an insight may be gained into the individual's feelings about his job, his future, retirement plans and other personal goals. It is only by developing this sort of rapport between supervisor and subordinate that it is possible to develop the fourth stage of the performance review -- a plan for improvement.

The plan for improvement involves the setting of performance targets for the future. At this point the employee may be given new tasks which will broaden the scope of his activity and widen the sphere of his knowledge. Here can be given the incentive and direction toward ultimate promotion. It is in the discussion phase of the review process that mention is made of rewards or penalties to be given as a result of the employee's own performance.

The four phases of the performance review -- position description, appraisal, discussion, and plan for improvement -- provide the organization and the individual with a clear understanding of the responsibilities of the job and the common objectives of both employee and organization. Again we must stress that the development and improvement of supervisors and subordinates is the responsibility of line management. The manager must always be actively engaged in developing his people.

The effective manager must possess certain qualities in discharging his managerial responsibility. He sees as a primary responsibility the provision of a work situation rich in opportunities for subordinates' self-development. He is completely competent to carry out his full management responsibilities. He knows the full scope of his authority and has the knowledge of the decision-making process. And finally, he acts like a manager; he uses the words and phraseology of the boss; he follows the patterns of leadership.

By observing these qualities he offers the competent managerial image which is such a vital part of the important program of performance review.

## APPENDIX

### SCHEDULE OF FOURTH MANAGEMENT DEVELOPMENT PROGRAM FOR FEDERAL EXECUTIVES\* PHASE I (National 4-H Center, Washington, D. C.)

Monday, September 12, 1960

#### Morning

Welcome- John B. Holden  
Introductions - Objectives of Program - Edmund N. Fulker  
"What the Program Meant to Me" - Walter Adamson  
"Conditions for Learning" - John B. Holden

#### Afternoon

Analysis of Participant's Job Problems  
Individual Think  
Buzz, Group Reports  
Classification of Needs - Edmund N. Fulker

Assignment: Personal Analysis of Position and Self  
Fill in Questionnaires

Tuesday, September 13, 1960

#### Morning

"The Job of the Federal Executive" - O. Glenn Stahl  
"How Supervise Test"  
Election and Organization of Committees

#### Afternoon

"Fundamentals of Management" - Henry G. Herrell  
Distribution of Reading Materials

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\* A list of resource leaders with their titles appears on page 47 .

PHASE II  
(The Lodge - Williamsburg, Virginia)

Sunday, November 27, 1960

Evening

Opening Dinner

"Decision Making in Government" - Wallace Sayre

Chairman: Frank L. Capps  
Recorders: Sheldon J. Seigel  
John W. Van Tuyl

Monday, November 28, 1960

Morning

Dr. Sayre (continued)

Getting Organized (Individual and Committee Responsibilities  
and Assignments)

Afternoon

Luncheon Meetings of Committees

"The Art of Communication: Learning Through Listening and  
Reading" - Edmund N. Fulker

Recorders: Charles L. Bradshaw  
Donn P. Crane

"How Supervise Test" Discussion

Introduction to Case Method

Assign Cases for Study

Tuesday, November 29, 1960

Morning

"Communications in Management" - John Morrow

Chairman: Charles G. Cleveland  
Recorders: Elizabeth L. Carmichael  
Frank E. McKimmey

Summary and Application by Participants

Afternoon

"Helping Your People Develop Themselves" - Fordyce Luikart

Chairman: Frank Williams  
Recorders: George R. Burns  
Frank L. Capps

Questions and Discussion

Summary and Application by Participants

Evening

"The Story of Restored Williamsburg" - Lucius D. Battle, Vice President, Colonial Williamsburg

Chairman: John W. Van Tuyl

Wednesday, November 30, 1960

Morning

"Human Factors in Management" - James Enneis

Chairman: Carlton W. Tillinghast, Jr.  
Recorders: Wayne V. Dexter  
John T. Drow

Afternoon

Films by Film Committee  
Tours of Williamsburg and/or Jamestown

Thursday, December 1, 1960

Morning

Discussion of "Human Relations Cases" - Nathan Baily

Chairman: Thomas H. Smith  
Recorders: Edward L. St. Clair  
Frederick T. Smith

Discussion of Case Studies

Afternoon

"Principles of Organization" - Jarold A. Kieffer

Chairman: Lawrence W. Connor  
Recorders: Walter F. Patterson, III  
Quentin M. West

Summary and Application by Participants  
Film by Film Committee

Friday, December 2, 1960

Morning

"Performance Review" - Elbert Burr

Chairman: William M. Risen  
Recorders: Lawrence W. Connor  
Thomas H. Smith

Summary and Application by Participants

Afternoon

"Practice in Decision Making - In-Basket Exercise" - Henry G. Herrell

Chairman: Donn P. Crane  
Recorders: Charles G. Cleveland  
Eliot W. Zimmerman

Evening

Dinner at Campbell's Reconstructed Tavern followed by informal chat with Commissioner Ewan Clague

Saturday, December 3, 1960

Morning

"Management and Planning" - Ewan Clague

Chairman: Quentin M. West  
Recorders: William M. Risen  
Frank Williams

Summary and Application by Participants

Saturday p.m. and Sunday, December 4, 1960

Reading, Informal Discussion  
Committee Meetings  
Tours of Williamsburg  
Recreation

Monday, December 5, 1960

Morning

"Recent Trends in Management and Characteristics of the Work Group in the Organization" - Gordon Lippitt

Chairman: Sol Swerdloff  
Recorders: Donn P. Crane  
Carlton W. Tillinghast, Jr.

Group Role Playing and Analysis of Group Behavior--Dr. Lippitt

Afternoon

"Recent Insights on Federal Executives" - Ross Pollock

Chairman: Norval R. Young  
Recorders: Elizabeth L. Carmichael  
Eliot W. Zimmerman

Managers Problem Clinic  
Discussion and Analysis of "Live"  
Job Cases and Follow-up Projects

Evening

Dinner at King's Arms Reconstructed Tavern

Tuesday, December 6, 1960

Morning

Roundtable Discussion of Follow-up Projects

Consultants: Ross Pollock  
Edmund N. Fulker

Evaluation

Panel:

Frank L. Capps, Moderator  
Donn P. Crane  
Sol Swerdloff  
Quentin M. West  
Frank Williams

Adjournment of Phase II



## RESOURCE LEADERS

Nathan Baily, Dean,  
School of Business Administration,  
The American University,  
Washington, D. C.

Elbert Burr, Manager,  
Personnel Recruitment and Development,  
Monsanto Chemical Company,  
St. Louis, Missouri.

Ewan Clague,  
Commissioner of Labor Statistics,  
Department of Labor,  
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James Enneis,  
Supervisory Psychodramatist,  
St. Elizabeth's Hospital,  
Washington, D. C.

Edmund N. Fulker,  
Assistant Director,  
Graduate School,  
U. S. Department of Agriculture,  
Washington 25, D. C.

Henry G. Herrell,  
Assistant Administrator for  
Management,  
Agricultural Marketing Service,  
U. S. Department of Agriculture,  
Washington 25, D. C.

John B. Holden, Director,  
Graduate School,  
U. S. Department of Agriculture,  
Washington 25, D. C.

Jarold A. Kieffer,  
Assistant to the Secretary,  
Department of Health, Education,  
and Welfare,  
Washington 25, D. C.

Gordon L. Lippitt,  
Director of the Center for the  
Behavioral Sciences,  
George Washington University,  
Washington, D. C.

Fordyce Luikart, Asst. Administrator  
for Personnel and Training,  
Federal Aviation Agency,  
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John A. Morrow,  
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Officer,  
U. S. Army,  
Washington 25, D. C.

Ross Pollock, Chief,  
Career Development Section,  
Civil Service Commission,  
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Wallace Sayre,  
Professor of Public Administration,  
Columbia University,  
New York, New York.

O. Glenn Stahl, Director,  
Bureau of Programs and Standards,  
Civil Service Commission,  
Washington 25, D. C.



FOURTH MANAGEMENT DEVELOPMENT PROGRAM GROUP

Front row (left to right): Edmund N. Fulker (standing), Frank E. McKimney, John T. Drow, Elizabeth L. Carmichael, Fordyce Luitkart, John A. Morrow, Jean Acuff, Frank L. Capps, Lawrence W. Connor.

Eliot W. Zimmerman, Frank Williams, Carlton W. Tillinghast, Jr., Frederick T. Smith, Sheldon J. Seigel, Walter F. Patterson, III, Charles L. Bradshaw, John W. Van Tuyl.

Edward L. St. Clair, Donn P. Crane, William M. Risen, Norval R. Young, Wayne V. Dexter, Sol Sverdloff, George R. Burns, Quentin M. West, Charles G. Cleveland, Thomas H. Smith.

## PARTICIPANTS IN PROGRAM

Charles L. Bradshaw, Deputy Director  
Computation Division  
National Aeronautics and Space  
Administration  
George C. Marshall Space Flight Center  
Huntsville, Alabama

George R. Burns, Farm Credit  
Appraiser  
(Associate Chief of Appraisals)  
Land Bank Service  
Farm Credit Administration  
Washington 25, D. C.

Frank L. Capps, Assistant Chief  
Buildings Management Division  
Public Buildings Service  
General Services Administration  
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Elizabeth L. Carmichael  
Assistant Secretary  
Board of Governors of the Federal  
Reserve System  
Washington 25, D. C.

Charles G. Cleveland, Chief  
Investigator, Internal Audit Division,  
Agricultural Marketing Service  
Department of Agriculture  
Washington 25, D. C.

Lawrence W. Connor, Assistant to  
Director, Postal Services Division  
Post Office Department  
Washington 25, D. C.

Donn P. Crane, Assistant Director  
Vehicle Operations Branch  
Distribution and Traffic Division  
Bureau of Operations  
Post Office Department  
Washington 25, D. C.

Wayne V. Dexter, Secretary  
Outlook and Situation Board  
Agricultural Marketing Service  
Department of Agriculture  
Washington 25, D. C.

John T. Drow, Assistant Director  
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Service, U. S. Forest Service  
Department of Agriculture  
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Frank E. McKimney  
Financial Specialist  
Small Business Administration  
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Walter F. Patterson, III  
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Short-Term Credit Service  
Farm Credit Administration  
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Transportation Research and Statistics  
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Range Requirements  
Bureau of Naval Weapons  
Navy Department  
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Assistant Director  
Office of Administrative Services  
International Cooperation Administration  
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Thomas H. Smith, Deputy Director  
Technical Program Coordination Office  
George C. Marshall Space Flight Center  
National Aeronautics and Space  
Administration  
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Edward L. St. Clair, Market  
Administrator, Dairy Division  
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Department of Agriculture  
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Sol Swerdloff, Assistant Chief  
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Statistics, Bureau of Labor Statistics  
Department of Labor  
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Carlton W. Tillinghast, Jr., Chief  
Computations Division  
Astrophysical Observatory  
Smithsonian Institution  
Cambridge, Massachusetts

John W. Van Tuyl  
Supervisory Systems Accountant  
International Cooperation Administration  
Washington 25, D. C.

Quentin M. West, Agricultural Econo-  
mist (International) (Chief)  
Foreign Agricultural Service  
Department of Agriculture  
Washington 25, D. C.

Frank Williams, Deputy Director  
Future Projects Office  
George C. Marshall Space Flight Center  
National Aeronautics and Space  
Administration  
Huntsville, Alabama

Norval R. Young, Assistant Director,  
Transportation Requirements Branch  
Bureau of Operations  
Post Office Department  
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Eliot W. Zimmerman, Forester  
(General) Division of Program Planning  
and Special Projects  
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Department of Agriculture  
Washington 25, D. C.

## COMMITTEE ASSIGNMENTS OF PARTICIPANTS

### Advisory Committee

Frank L. Capps, Chairman	Edward L. St. Clair
Walter F. Patterson, III	Sol Swerdloff
Sheldon G. Seigel	

### Editorial Committee

Elizabeth L. Carmichael, Chairman	Frederick T. Smith
Charles L. Bradshaw	Frank Williams
Donn P. Crane	Eliot W. Zimmerman

### Film Committee

John T. Drow, Chairman	Quentin M. West
George R. Burns	Norval R. Young
Thomas H. Smith	

### Library Committee

Frank E. McKimney, Chairman	Carlton W. Tillinghast
William M. Risen	John W. Van Tuyl

### Recreation Committee

Lawrence W. Connor, Chairman	Charles G. Cleveland
	Wayne V. Dexter



INFORMAL SHOTS





WILLIAMSBURG, VIRGINIA



## MOTION PICTURE FILMS

A substantial number of films were previewed by members of the Film Committee between Phases I and II. Of those previewed, the films listed below were considered to have potential value for programs on management. Those used at Williamsburg are identified with an asterisk. The information provided for each film is tabulated in the following sequence:

### Title

Black and White (B & W) or Color, Running Time, and Source of Film in Washington, D. C.

### Produced for or by

### Brief Synopsis

## FILMS

### \*Department Manager

B & W, 30 minutes, D. C. Library

National Film Board of Canada (One of a six-part series on The Nature of Work)

Shows the change in a man who was "promoted" from creative work which he enjoyed, and in which he excelled, to managerial work. The effect on both worker and company of promoting a man to a "better" job to which he is not suited is observed.

### \*Engineering of Agreement

B & W, 18 minutes, D. C. Library

Roundtable Productions, Beverly Hills, California

How to sell an idea, product, or service. Film demonstrates various types of resistance and shows how they may be circumvented. The last four minutes is a series of questions. If used, time should be allowed for discussion of each.

### \*Internal Organization

B & W, 13 minutes, D. C. Library

McGraw-Hill Company, New York

Fundamental purposes of business organization and basic organization principles.

\*More Than Words

Color, 13 minutes, Agricultural Marketing Service, U. S. Department of Agriculture

Henry Strauss Company

Shows some of the barriers that may be set up between the receiver and the sender of communications, the use of different techniques of communication and the importance of nonverbal communications.

\*Listen Please

Color, 12 minutes, Agricultural Marketing Service, U. S. Department of Agriculture

Calvin Productions, Inc., Kansas City, Missouri

Presents some of the common difficulties that can arise when a person doesn't listen carefully and thoroughly to what other people are trying to say to him.

Production 5118

Color, 30 minutes, Federal Extension Service, U. S. Department of Agriculture

Champion Fiber Company

Portrays common communication difficulties in a factory, which can be applied to any situation.

1104 Sutton Road

Color, 30 minutes, Modern Talking Picture Service, Washington, D. C.

Champion Fiber Company

Presents what happens when you look at things only from your point of view and do not consider how it is for one on a different level.

A Message to No One

Color, 25 minutes, Mr. Badger, DIstrict 7-7475

Champion Fiber Company

The art of listening.

By Jupiter

B & W, 27 minutes, Agricultural Marketing Service, U. S. Department of Agriculture

Wilding Picture Productions, Inc., Chicago, Illinois

Illustrates that a person's actions are affected by the way he is treated by others.

Eye of the Beholder

B & W, 24 minutes, Agricultural Marketing Service, Department of Agriculture

Stewart Reynolds Productions, Beverly Hills, California

A dramatic presentation portraying difficulties that can arise when you see only part of a situation and not the whole.

Of Men and Ideas -- Series of 6 Films

B & W, Office of Information, U. S. Department of Agriculture

Lecture type, subject matter suggested by titles:

1. Just What is General Semantics? 30 minutes
2. Making a Statement of Fact. 30 minutes
3. Why do People Misunderstand? 30 minutes
4. What is a Good Observer? 30 minutes
5. Difference Between Words and Things. 30 minutes
6. The Man Who Knows It All. 30 minutes

## QUOTE AND COMMENT

### "8 SKILLS WHICH MAKE A MANAGER"

Adapted from an article by Louis A. Allen in  
Nation's Business, February, 1958

1. Setting Goals - Have you made a careful analysis of past operating results and a balanced estimate of the potential of the people, facilities and materials available?
2. Programming - Have you prepared a written list of things to be done at the beginning of each day, week, month, year?
3. Budgeting - Can your projected expenditures be justified as clearly necessary to the attainment of approved goals?
4. Management Organization - Is your department's work grouped in balanced, integrated positions, units, sections to insure that it is done with minimum overlap and duplication and with best utilization of human skills?
5. Motivation - Do your people do things because they want to, not just because they are told?
6. Control - Can you evaluate and appraise work being done under your direction without the need for close personal supervision?
7. Innovation - Do you see to it that you yourself are creative and that every new idea generated by your subordinates is given careful attention?
8. Decision-making - Are you skillful in fact-gathering, analysis, and in choosing among alternatives?

